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| FORM PTO-1449 | | SERIAL NO. 10/533,045 | CASE NO. 12957-20 |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT | | FILING DATE October 20, 2005 | GROUP ART UNIT 4161 |
| (use several sheets if necessary) | APPLICANT(S): Edwin Douglas Lephart, et al. | | CONFIRMATION NO. 6027 |

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER <small>Number-Kind Code (if known)</small> | DATE | NAME | CLASS/ SUBCLASS | FILING DATE |
|---------------------|--|-----------|------------|--------------------|----------------|
| | A1 | 7,396,855 | 07/08/2008 | Setchell, et al. | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER <small>Number-Kind Code (if known)</small> | DATE | COUNTRY | CLASS/ SUBCLASS | TRANSLATION YES OR NO |
|---------------------|--|------|---------|--------------------|--------------------------|
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OTHER ART – NON PATENT LITERATURE DOCUMENTS

| EXAMINER INITIAL | (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published. |
|---------------------|--|
| A2 | Aldercreutz, H., et al., "Urinary Excretion of Lignans and Isoflavonoid Phytoestrogens in Japanese Men and Women Consuming A Traditional Japanese Diet," <i>Am. J. Clin. Nutr.</i> , 54:1093-1100 (1991) |
| A3 | Axelsson, M., et al., "The Identification of the Weak Oestrogen Equal [7-hydroxy-3'-4'-hydroxyphenyl]chroman] in Human Urine," <i>J. Biochem</i> , 201:353-357 (1982) |
| A4 | Chang, Y.C., and Nair, M.G., "Metabolism of Daidzein and Genistein by Intestinal Bacteria," <i>J. of Natural Products</i> , 58(12):1892-1896 (1995) |
| A5 | Kurosawa, K., et al., "The Absolute Configurations of the Annual Metabolite, Equol, Three Naturally Occurring Isoflavans, and One Natural Isoflavanquinone," <i>Chemical Communications</i> , 1265-1264 (1968) |
| A6 | Magee, P., et al., "Equol: A Comparison of the Effects of the Racemic Compound with That of the Purified S-Enantiomer on the Growth, Invasion, and DNA Integrity of Breast and Prostate Cells In Vitro," <i>Nutrition and Cancer</i> , 54(2):232-242 (2006) |
| A7 | Marrian, G.F. and Haslewood, G.D., "CXLV. Equol, a New Inactive Phenol Isolated from the Ketohydroxy-Oestrin Fraction of Mares' Urine," <i>University College, London, Department of Physiology and Biochemistry</i> , 1227-1232 (1932) |
| A8 | Muthyala, R.S., et al., "Equol, a Natural Estrogenic Metabolite from Soy Isoflavones: Convenient Preparation and Resolution of R- and S-equols and their Differing Binding and Biological Activity through Estrogen Receptors Alpha and Beta," <i>Bioorganic & Medicinal Chemistry</i> , 12:1559-1567 (2004) |
| A9 | Rowland, I.R., et al., "Interindividual Variation in Metabolism of Soy Isoflavones and Lignans: Influence of Habitual Diet on Equol Production by the Gut Microflora," <i>Nutrition and Cancer</i> , 36(1):27-32 (2000) |
| A10 | Setchell, K.D., et al., "S-Equol, A Potent Ligand for Estrogen Receptor β , is the Exclusive Enantiomeric form of the Soy Isoflavone Metabolite Produced by Human Intestinal Bacterial Flora," <i>Am. J. Clin. Nutr.</i> , 81:1072-1079 (2005) |
| A11 | Setchell, D.R. and Cole, S.J., "Method of Defining Equol-Producer Status and Its Frequency among Vegetarians," <i>J. of Nutrition</i> , 2188-2192 (2006) |
| A12 | Setchell, K.D., et al., "The Clinical Importance of the Metabolite Equol – A Clue to the Effectiveness of Soy and Its Isoflavones," <i>J. of Nutrition</i> , 3577-3584 (2002) |
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| A13 | Setchell, K.D., et al., "Equol – Origins, Actions, and Clinical Relevance of this Specific Soy Isoflavone Metabolite," <i>Fifth International Symposium on the Role of Soy in Preventing and Treating Chronic Disease, Oral Presentation Abstracts, J. of Nutrition</i> , 134:1234S-1247S (2004) | |
| A14 | Verbit, L. and Clark-Lewis, J.W., "Optically Active Aromatic Chromophores – VIII Studies in the Isoflavonoid and Rotenoid Serices," <i>Tetrahedron</i> , 24:5519-5527 (1968) | |
| A15 | Wang, X.L., et al., "Enantioselective Synthesis of S-Equol from Dihydrodaidzein by a Newly Isolated Anaerobic Human Intestinal Bacterium," <i>Applied and Environmental Microbiology</i> , 71(1): 214-219 (2005) | |

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